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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/838,319	04/20/2001	Tomoya Saeki	Q64153	1014

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SUGHRUE, MION, ZINN, MACPEAK & SEAS  
2100 Pennsylvania Avenue, N.W.  
Washington, DC 20037

EXAMINER

WORJLOH, JALATEE

ART UNIT PAPER NUMBER

3621

DATE MAILED: 02/02/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

✓

**Office Action Summary**

Application No.

09/838,319

Applicant(s)

SAEKI, TOMOYA

Examiner

Jalatee Worjloh

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 17 November 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 4,5,7-14,18,19,21-28,32,33 and 35-42 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☒ Claim(s) 4,5,10,18,19,24,32,33 and 38 is/are allowed.
- 6) ☒ Claim(s) 7-9,11-13,21-23,25-28,35-37 and 39-42 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>11-17-04</u> . | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Response to Amendment***

1. This Office Action is responsive to the amendment filed on November 17, 2004, in which claims 4-5, 7-14, 18-19, 21-28, 32-33 and 35-42 were amended while claims 1-3, 6, 15-17, 20, 29-31, 34 and 43-45 were cancelled.

### ***Drawings***

2. The drawings filed April 20, 2001 are approved.

### ***Information Disclosure Statement***

3. The foreign references filed on the Information Disclosure Statement were not considered because it does not include an English translation.

### ***Response to Arguments***

4. Applicant's arguments with respect to claims 7-9, 11-14, 21-23, 25-28, 35-37, and 39-42 have been considered but are moot in view of the new ground(s) of rejection.

5. Claims 4, 5, 7-14, 18, 18, 21-28, 32, 33, 35-42 have been examined.

### ***Claim Rejections - 35 USC § 103***

6. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

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(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

7. Claims 7, 21, 35 are rejected under 35 U.S.C. 103(a) as being unpatentable over US

Publication No. 2003/0204610 to Howard et al. in view of US Publication No. 2001/0039535 to Tsiounis et al.

Howard et al. disclose the system has a database for storing at least personal authentication data required for said personal authentication and previously registered, and data required to receive various services (see paragraphs [0018] and [0029]), wherein said authentication server has a function of collating said authentication information input from said authentication terminal via said communication terminal, against said personal authentication data stored in said database, when the client is authenticated during said identification, and a function of providing, registering, and managing personal data registered beforehand in said database based on a request from said authentication terminal when the client is authenticated during said identification and periodically communicating a collation history, a personal data usage history, and a charge process history, i.e. cookie (see abstract, lines 11-14,21-25) and wherein when said authentication server does not detect a match between said authentication information input from said authentication terminal and said personal authentication data, said authentication server notifies said authentication terminal that the client is not authenticated (see claim 11 of Howard) . Howard et al. do not expressly disclose a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered in said database based on a request or the authentication terminal is installed in a store and is configured to request said

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authentication server to execute said identification when at least one of a commodity and a service is to be provided, and is configured to request said authentication server to pay a consideration for the at least one of a commodity and a service provided from said settling account when the client is authenticate during said identification. Tsiounis et al. disclose a database ("PAN server database") storing settling account information (i.e. "customer's confidential payment information"), required to process charges (see paragraph [0047]) and an authentication server (i.e. "TTP") has a function of processing charges based on said settling account information registered in said database based on a request and the authentication terminal is installed in a store and is configured to request said authentication server to execute said identification when at least one of a commodity and a service is to be provided, and is configured to request said authentication server to pay a consideration for the at least one of a commodity and a service provided from said settling account when the client is authenticate during said identification (see paragraph [0100]). At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to modify the system disclose by Howard et al. to include disclose a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered in said database based on a request or the authentication terminal is installed in a store and is configured to request said authentication server to execute said identification when at least one of a commodity and a service is to be provided, and is configured to request said authentication server to pay a consideration for the at least one of a commodity and a service provided from said settling account when the client is authenticate during said identification. One of ordinary skill in the art would have been motivated to do this

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because the database organizes and stores the data in a manner in which the authentication server can easily retrieve the necessary information for authentication and authorization.

8. Claims 8, 12, 13, 22, 26, 27, 36, 40 and 41 are rejected under 35 U.S.C. 103(a) as being unpatentable over Howard et al. in view of US Publication No. 2001/0018660 to Sehr.

Referring to claims 8, 22, and 36, Howard et al. disclose a system wherein the system has a database for storing at least personal authentication data required for said personal authentication and previously registered, and data required to receive various services (see paragraphs [0018] and [0029]), wherein said authentication server has a function of collating said authentication information input from said authentication terminal via said communication terminal, against said personal authentication data stored in said database, when the client is authenticated during said identification, and a function of providing, registering, and managing personal data registered beforehand in said database based on a request from said authentication terminal when the client is authenticated during said identification and periodically communicating a collation history, a personal data usage history, and a charge process history, i.e. cookie (see abstract, lines 11-14,21-25) and wherein when said authentication server does not detect a match between said authentication information input from said authentication terminal and said personal authentication data, said authentication server notifies said authentication terminal that the client is not authenticated (see claim 11 of Howard). Howard et al. do not expressly disclose a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered in said database based on a request, wherein said authentication terminal

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is installed at a ticket gate of a public transportation facility and is configured to request said authentication server to execute said identification when said public transportation facility is utilized and is configured to request said authentication server to pay from said settling account a price corresponding to a traveling section from said public transportation facility when the client is authenticated during said identification. Sehr discloses a database storing settling account information required to process charges (see paragraph [0031]) and an authentication server has a function of processing charges based on said settling account information registered in said database based on a request (see paragraph [0024], [0027], & [0028]), wherein said authentication terminal installed at a ticket gate of a public transportation facility (i.e. "for electronic rendering of services") and is configured to request said authentication server to execute said identification when said public transportation facility is utilized and is configured to request said authentication server to pay from said settling account a price corresponding to a traveling section from said public transportation facility when the client is authenticated during said identification (see paragraph [0053], [0025]). At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to modify the system disclose by Howard et al. to include a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered in said database based on a request, wherein said authentication terminal installed at a ticket gate of a public transportation facility and is configured to request said authentication server to execute said identification when said public transportation facility is utilized and is configured to request said authentication server to pay from said settling account a price corresponding to a traveling section from said public transportation facility when the client

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is authenticated during said identification. One of ordinary skill in the art would have been motivated to do this because it performs verification thereby reducing fraud and disputes.

As for claims 12, 26, and 40, see the rationale of claims 8, 22, and 36 above. Notice, the examiner notes that the service-providing facilities may include the public transportation facility.

As for claims 13, 27 and 41, see the rationale of claims 8, 22, and 36 above. Notice, the authentication terminal of Sehr is configured to record a time when a client enters and leaves said facility and to calculate an amount of time that a client is in the facility (see paragraph [0053]).

9. Referring to claims 11,25, and 39, over Howard et al. in view of US Publication No. 2001/0018660 to Sehr.

Howard et al. disclose a system wherein the system has a database for storing at least personal authentication data required for said personal authentication and previously registered, and data required to receive various services (see paragraphs [0018] and [0029]), wherein said authentication server has a function of collating said authentication information input from said authentication terminal via said communication terminal, against said personal authentication data stored in said database, when the client is authenticated during said identification, and a function of providing, registering, and managing personal data registered beforehand in said database based on a request from said authentication terminal when the client is authenticated during said identification and periodically communicating a collation history, a personal data usage history, and a charge process history, i.e. cookie (see abstract, lines 11-14,21-25) and wherein when said authentication server does not detect a match between said authentication information input from said authentication terminal and said personal authentication data, said



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authentication server notifies said authentication terminal that the client is not authenticated (see claim 11 of Howard). Howard et al. do not expressly disclose a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered in said database based on a request, wherein said authentication terminal is installed at a government officer's window for one of various procedures and is configured to request said authentication server to execute said identification when said procedure is utilized and is configured to request said authentication server to receive an application for said procedure when the client is authenticated during said identification and is configured to pay a fee from said settling account. Sehr discloses a database storing settling account information required to process charges (see paragraph [0031]) and an authentication server has a function of processing charges based on said settling account information registered in said database based on a request (see paragraph [0024], [0027], & [0028]), wherein said authentication terminal is installed at a government officer's window (i.e. "for electronic rendering of services") for one of various procedures and is configured to request said authentication server to execute said identification when said procedure is utilized and is configured to request said authentication server to receive an application for said procedure when the client is authenticated during said identification and is configured to pay a fee from said settling account (see paragraph [0025]). At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to modify the system disclose by Howard et al. to include a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered in said database based on a request,

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wherein said authentication terminal is installed at a government officer's window for one of various procedures and is configured to request said authentication server to execute said identification when said procedure is utilized and is configured to request said authentication server to receive an application for said procedure when the client is authenticated during said identification and is configured to pay a fee from said settling account. One of ordinary skill in the art would have been motivated to do this because it performs verification thereby reducing fraud and disputes.

10. Claims 9, 23, and 37 are rejected under 35 U.S.C. 103(a) as being unpatentable over Howard et al. and Sehr in view of US Publication No. 2004/0243431 to Katz.

Howard et al. disclose a system wherein the system has a database for storing at least personal authentication data required for said personal authentication and previously registered, and data required to receive various services (see paragraphs [0018] and [0029]), wherein said authentication server has a function of collating said authentication information input from said authentication terminal via said communication terminal, against said personal authentication data stored in said database, when the client is authenticated during said identification, and a function of providing, registering, and managing personal data registered beforehand in said database based on a request from said authentication terminal when the client is authenticated during said identification and periodically communicating a collation history, a personal data usage history, and a charge process history, i.e. cookie (see abstract, lines 11-14,21-25) and wherein when said authentication server does not detect a match between said authentication

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information input from said authentication terminal and said personal authentication data, said authentication server notifies said authentication terminal that the client is not authenticated (see claim 11 of Howard). Howard et al. do not expressly disclose a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered in said database based on a request, wherein said authentication terminal are added to a public telephone and are configured to request said authentication server to execute said authentication server to pay a telephone call charge for said public telephone from said settling account when the client is authenticated during said identification and wherein when a communication using said public telephone starts, said public telephone records a start time and a destination of said communication. Sehr discloses a database storing settling account information required to process charges (see paragraph [0031]) and an authentication server has a function of processing charges based on said settling account information registered in said database based on a request (see paragraph [0024], [0027], & [0028]), wherein said authentication terminal are added to a public telephone and are configured to request said authentication server to execute said authentication server to pay a telephone call charge for said public telephone from said settling account when the client is authenticated during said identification and (see paragraph [0132]) . Katz discloses said public telephone records a start time and a destination of said communication (see paragraph [0074]). At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to modify the system disclose by Howard et al. to disclose a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered

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in said database based on a request, wherein said authentication terminal are added to a public telephone and are configured to request said authentication server to execute said authentication server to pay a telephone call charge for said public telephone from said settling account when the client is authenticated during said identification and wherein when a communication using said public telephone starts, said public telephone records a start time and a destination of said communication. One of ordinary skill in the art would have been motivated to do this because it performs verification thereby reducing fraud and disputes and enables tracking arrival and departure times of users.

11. Claims 14, 28, and 42 rejected under 35 U.S.C. 103(a) as being unpatentable over Howard et al. and Tsiounis et al. in view of US Patent No. 6404337 to Van Till et al.

Howard et al. disclose the system has a database for storing at least personal authentication data required for said personal authentication and previously registered, and data required to receive various services (see paragraphs [0018] and [0029]), wherein said authentication server has a function of collating said authentication information input from said authentication terminal via said communication terminal, against said personal authentication data stored in said database, when the client is authenticated during said identification, and a function of providing, registering, and managing personal data registered beforehand in said database based on a request from said authentication terminal when the client is authenticated during said identification and periodically communicating a collation history, a personal data usage history, and a charge process history, i.e. cookie (see abstract, lines 11-14,21-25) and wherein when said authentication server does not detect a match between said authentication information input from said authentication terminal and said personal authentication data, said

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authentication server notifies said authentication terminal that the client is not authenticated (see claim 11 of Howard) . Howard et al. do not expressly disclose a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered in said database based on a request or the authentication terminal is installed at a window, where a certificate is issued and a relevant registration is carried out, and is configured to request said authentication server to execute said identification when said certificate is issued and when the relevant registration is carried out and is configured to request said authentication server to permit the issuance of said certificate and the relevant registration when the client is authenticated during said identification and is configured to pay a fee from said settling account, wherein when said relevant registration is for registration of the client's change of address or the client's seal, the authentication server executes a process corresponding to said relevant registration. Tsiounis et al. disclose a database ("PAN server database") storing settling account information (i.e. "customer's confidential payment information"), required to process charges (see paragraph [0047]) and an authentication server (i.e. "TTP") has a function of processing charges based on said settling account information registered in said database based on a request and the authentication terminal is installed in a store and is configured to request said authentication server to execute said identification when at least one of a commodity and a service is to be provided, and is configured to request said authentication server to pay a consideration for the at least one of a commodity and a service provided from said settling account when the client is authenticate during said identification (see paragraph [0100]). Van Till et al. disclose wherein when said relevant registration is for registration of the client's change of address or the client's seal, the

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authentication server executes a process corresponding to said relevant registration (see claim 8 of Van Till et al.). At the time the invention was made, it would have been obvious to a person of ordinary skill in the art to modify the system disclose by Howard et al. to include a database storing settling account information required to process charges or an authentication server has a function of processing charges based on said settling account information registered in said database based on a request or the authentication terminal is installed at a window, where a certificate is issued and a relevant registration is carried out, and is configured to request said authentication server to execute said identification when said certificate is issued and when the relevant registration is carried out and is configured to request said authentication server to permit the issuance of said certificate and the relevant registration when the client is authenticated during said identification and is configured to pay a fee from said settling account, wherein when said relevant registration is for registration of the client's change of address or the client's seal, the authentication server executes a process corresponding to said relevant registration. One of ordinary skill in the art would have been motivated to do this because the database organizes and stores the data in a manner in which the authentication server can easily retrieve the necessary information for authentication and authorization.

***Allowable Subject Matter***

12. Claims 4, 5, 10, 18,19, 24, 32, 33, 38 are allowed.

***Conclusion***

13. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

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A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Jalatee Worjloh whose telephone number is 703-305-0057. The examiner can normally be reached on Mondays-Thursdays 8:30 - 7:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, James Trammell can be reached on 703-305-9768. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306 for Regular/After Final Actions and 703-746-9443 for Non-Official/Draft.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Jalatee Worjloh

Application/Control Number: 09/838,319

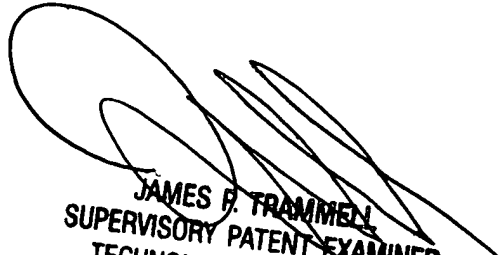
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Patent Examiner  
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January 28, 2005



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